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ABSTRACT

The acquisition functions of selection, ordering, receiving, blanket orders, serials, gifts, exchange, and microforms and the technical processing of each at the University of California at Los Angeles libraries are discussed. The requirements for converting these manual acquisition functions to a magnetic tape data base for the Center for Information Services are presented. (Related documents are ED 057806 through ED 057812.) (SJ)

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ED 067121

CENTER FOR INFORMATION SERVICES, PHASE II--DETAILED SYSTEM DESIGN AND PLANNING

FIRST REPORT ON THE ACQUISITION FUNCTION

By
Peter G. Watson

December 1969

Institute of Library Research
University of California
Los Angeles, California

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LI 003 866

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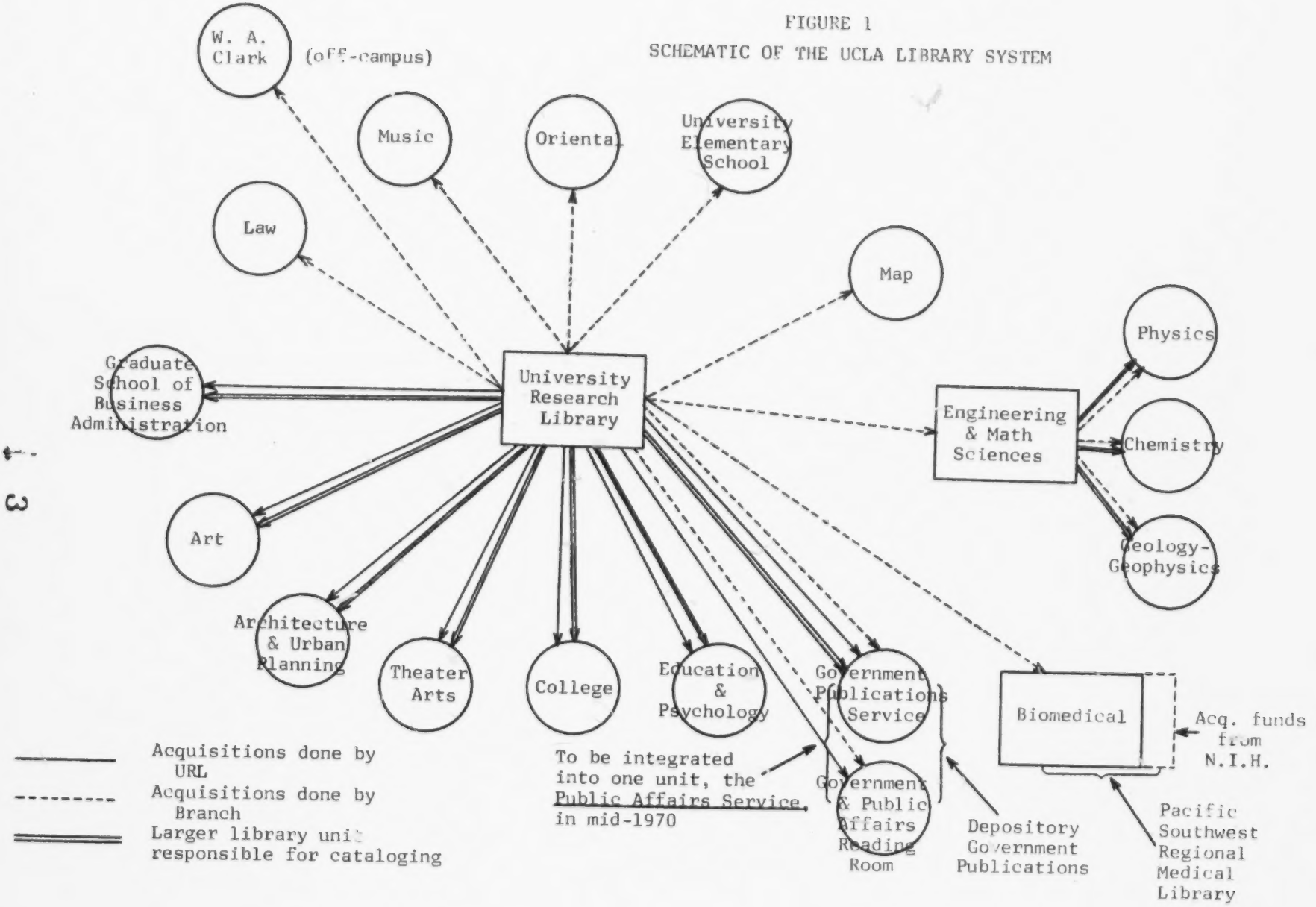
FIGURE 1

SCHEMATIC OF THE UCLA LIBRARY SYSTEM



SECTION A

Introduction

There are essentially three genera of material being acquired by the UCLA Library system, and three strategies by which they are acquired. The genera are:

1. Books
2. Serials
3. Microforms

and the strategies are:

1. Direct purchase of current material
2. Direct or negotiated or otherwise 'special' purchase of out-of-print material
3. Gift and exchange.

Other types of material, such as phonorecords, slides, etc. should not be overlooked, but their position in the total acquisition program is a very minor one; and although the bibliographic web is not yet as complex for these as it is for the major genera, the acquisition structure is basically the same as for monographs, and in particular, in-print monographs. Technically, of course, 35mm slides are single frames of a reel of microfilm.

This working total of nine possible types of procedure may be multiplied by the number of libraries having control of their own acquisition, which means 14 of the 20 libraries in the UCLA system, for a theoretical maximum of 126 different acquisition procedures. It will be obvious, however, that for all practical purposes we are dealing with far fewer than this:

a) Microforms can always be regarded as current acquisitions.

b) Serials are either "current" or "gift and exchange"--requests for o.p. serials, e.g. to complete a back run, are treated as books.

c) We can eliminate at least four of the "independent" branches from any consideration of magnetic tape materials--these are the William Andrews Clark Memorial Library, the University Elementary School Library, the Map Library and the Oriental Library.

--This leaves us with six procedures and ten libraries for 60 possibilities. We should also take into account the facts that

d) The two libraries receiving government documents on deposit employ near-identical procedures, and are in fact due to amalgamate into one entity, the Public Affairs Service, in mid-1970.

e) The inbuilt similarities arising from the structure of the publishing industry will necessarily lead to a certain degree of similarity in acquisition techniques.

On the strength of e), let us reduce the new total of 54 by one routine per library affected--which is probably a generous estimate. We have now cut the theoretical maximum to 35% of its size, but this still leaves us with 44 possible procedures in those libraries likely to be involved in any plan to introduce magnetic tape data bases into the system. Moreover, we cannot reasonably assume that magnetic tape materials might be equated exclusively with the category "books"--many, probably most of them, will fiscally speaking have to be regarded as serial publications, even if the 'update' simply adds more data to an existing tape. Secondly, neither can we assume that they can be treated merely in one of the three modes--most tapes will obviously be "current" in a bibliographic sense, but from the point of view of expenditure decisions are they not closer, in our present scale of values, to quite rare out-of-print items? And when magnetic tape data

bases occupy a place in the scholarly world analogous to that which periodicals have secured in their first 50 years of growth, it is more than likely that a substructure of data base gifts and exchanges will grow up between a department or other agency on campus and an equivalent organization elsewhere, or between the UCLA Library and another academic library. At present this mode of acquisition is particularly vital as a means of contact, often our only one, with libraries and universities in the Communist bloc.

The following sections will not attempt to describe every one of the 40 or 50 relevant acquisition procedures individually, but will aim to give a composite picture of the intellectual structure of selection and acquisition by extrapolation of pertinent elements from each.

Selection

As in most academic environments, the library at UCLA receives requests to purchase from both the faculty and the library's own bibliographic staff.

The involvement of the former, manifested through their departmental committees, is almost always appreciable, but in UCLA's decentralized system varies according to such factors as the exclusiveness of the library to a single department or discipline, and whether or not the library system has engaged a bibliographic specialist to take charge of that particular area.

In the library's effort, a broad dichotomy is observable. The libraries in the area of the humanities (those in the orbit of URL) tend to want as much prior checking as is necessary to ensure that good

librarianship has been practised, whereas the science group seem to be prepared to rely more on a dealer's judgment in order to speed up the acquisition process. Of course, it should not be assumed that the first group always follows one method, and the second another, and preferable, one. URL makes considerable use of the blanket order procedure, and the science libraries too are concerned about sound library practise. But ten of the eleven highly qualified Bibliographers in the Research Library are in fact, if not in name, devoted to the humanities circle of disciplines, and the eleventh covers "Social Sciences".* They are located in URL and they supervise the collection-building activities of it and of those branch libraries directly tied to it--none of which are science/technology libraries. Their titles are listed below:

African Bibliographer
Germanic Bibliographer
Hebraica and Judaica Bibliographer
Humanities Bibliographer
Indo-Pacific Bibliographer
Latin American Bibliographer
Medieval and Renaissance Bibliographer
Near Eastern Bibliographer
Slavic Bibliographer
Social Sciences Bibliographer
Western European Bibliographer

That this is a highly pragmatic arrangement will be obvious from the conceptual mixture of areas, languages and disciplines.

In the science group of libraries by contrast, acquisitions are customarily done by a very small staff, on the order of one professional with one or two assistants. In several instances a blanket order arrangement has been supplemented by an S.D.I. scheme (see Figure 2.).

* In addition, the Business Administration Library employs a Foreign Languages Bibliographer.

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0401671 UCLA CHEMISTRY LIBRARY--NOTIFY

NO COPY WILL BE SENT UNLESS BLUE CARD RETURNED WITH A QUANTITY SHOWN

PE72

BOOKS COMING-INTO PRINT PROGRAM

BOOKS COMING INTO PRINT PROGRAM

FIGURE 2

S.D.I. FORM

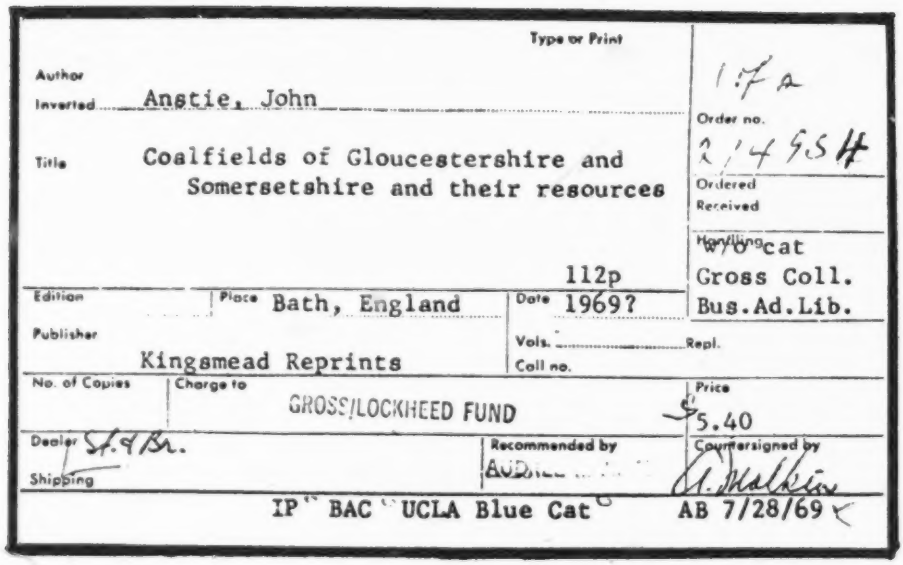
Library staff primarily concerned with selection, then, are the eleven bibliographers in URL and the acquisitions librarians in the various "independent" branches. In addition, special needs, e.g. Reference works, are supervised by staff from the relevant department. Almost any interested party, on or off the campus, may of course submit requests, and many do so regularly--but these do not control funds, and their suggestions are therefore fed in as data for examination by those who do.

Branches which have charge of their own selection and acquisition are:

Law
Music
Oriental
William Andrews Clark
University Elementary School
Map
Biomedical
Engineering and Math Sciences*
    Physics
    Chemistry
    Geology-Geophysics

The methods of selection are the usual ones: from publishers' announcements, Publishers Weekly, L.C. proof-slips, faculty "inside knowledge", etc., an authority card is created (Figure 3). This is then subjected to varying degrees of verification--in URL, which is working with very large files, almost every entry is routinely given an extensive check, in order to kill any remaining ambiguity about what

* Overall responsibility for the physical sciences was recently delegated to EMS, which at an early stage saw fit to further decentralize selection and acquisition to the three branches concerned. In what seems an unfortunate compromise, however, cataloging is still controlled by EMS, which has dedicated one staff member to peregrinate among the three libraries, a day here, a day there, etc.



Type or Print

Author Inverted: Anstie, John

Title: Coalfields of Gloucestershire and Somersetshire and their resources

112p

Edition | Place: Bath, England | Date: 1969?

Publisher: Kingsmead Reprints

Vols. | Repl. | Call no.

No. of Copies | Charge to: GROSS/LOCKHEED FUND

Price: 5.40

Dealer: Sf.Bk. | Shipping | Recommended by: AUD... | Countersigned by: A. Malkin

IP BAC UCLA Blue Cat AB 7/28/69

1.7 a

Order no. 2,145 SH

Ordered | Received

Handling: w/o cat

Gross Coll.

Bus.Ad.Lib.

FIGURE 3

AUTHORITY FORM

is being ordered, and whether the library system does or does not possess it. In the branches, where selection is sometimes a one-man operation by the head of the library, certainty can be established with less effort, in part because of the greater physical accessibility of the shelves.

For out-of-print items, the intellectual structure is basically the same, though the routine is naturally a little different. In the first place, there has to be overwhelming reliance on the catalogs (some regular, some sporadic) of second-hand book dealers; second, the lead time is as a rule very short--if a response to an advertisement is not made within one or two working days, valuable desiderata might be irretrievably lost to the library. Bibliographic checking must therefore be rapid, and of course for o.p. items it is ipso facto harder. Third, the financial decision, which must also be rapid, can involve single-item expenditures far above the ordinary, or what is equivalent, the bulk purchase of a prized private collection. The choice, therefore, which has to be made at very short notice by a variety of interests on the campus (the Acquisitions Department, one or more Bibliographers, Special Collections, the Librarian's Office, and an academic department or two might all have an opinion to contribute) might be between spending $1,000 to $20,000 immediately for some attractive but completely unexpected material, or spending nothing.

Ordering

After the bibliographic check is completed and the stages thereof recorded on the Authority Card, the Authority Card is 'cleared' for ordering. This is a process of incorporating into the form the various

business decisions that have to be taken prior to creating the order form. In effect, the questions which now must be answered are these:

What is the unique identifying number of this order?
How many copies are we ordering?
To which fund is this transaction to be charged?
What is the price as given?
From which dealer is it to be purchased?
By whom was the order initiated?
Who authorized it by countersigning?

The Authority Card is then used to generate the standard 10-part Official Purchase Order Form (Figure 4), the dispositions of which are as follows:

#1 and 10	To dealer (#10 for return with book or as report if the item cannot be supplied at once).
#2	To Public Catalog.
#3 and 4	Bookkeeping copies (filed under "funds liened" and "funds spent").
#5, 6, & 7	Catalog Department work slips*.
#8	To In-Process File.
#9	Report to the requester (Bibliographer, faculty member, etc.).
#10	See #1.

As will be seen from Figure 4, copies 1 and 10 have a set of detailed instructions on the reverse side. Selective carbon copying is employed through the ten parts to achieve a greater individual relevance of data appearing on each one.

This Authority Card and Purchase Order Form, or a slightly modified version of them, are routinely those used by the "independent" branches--the Biomedical Library's method, for example, is to use three further copies of the Authority Card as the Order Form, thereby easing the clerical task.

---

* I have made no enquiry into the fate of these three copies at this stage.

OFFICIAL PURCHASE ORDER 1 OF 2

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSMEAD REPRINTS
BATH, ENGLAND, 1969?

ORDER NO 274 954

CALL NO.

No. of Copies	ACCOUNT	HANDLING
1	GROSS/LOCKHEED FUND	CAT, GROSS COLL. BUS. AD. LIB

DEALER: STEVENS & BROWN

DATE OF ORDER: OCT 28, 1969

PRICE: $5.40

SHIP TO:

ACQUISITIONS DEPARTMENT
UNIVERSITY RESEARCH LIBRARY
UNIVERSITY OF CALIFORNIA
LOS ANGELES, CALIFORNIA 90024

Order authorized by:
Invoice in Triplicate
PUT ORDER NO. ON EACH PACKAGE

PLEASE NOTE CONDITIONS AND SHIPPING DIRECTIONS ON BACK OF THIS ORDER.

BUFF SLIP is enclosed for your convenience in reporting on orders.

PLEASE RETURN BUFF SLIP

1. IN BOOK, if shipment can be made from stock.
2. AS REPORT—if item cannot be supplied at once. Check below:
   - ☐ Not yet published. Will send when issued.
   - ☐ Out of stock at Publisher. We are holding order.
   - ☐ Out of print. Order cancelled. Will quote if found.
   - ☐ Sold. Order cancelled. Will quote if found.
   - ☐ Must be ordered direct from Publisher. Order cancelled.

DISCOUNT—Subject to usual Library discount.

INVOICE—Bill in triplicate referring to Library Order number.

SERIES—If any item is part of a series or a publication of a society or an extract, separate, reprint or dissertation, please report before supplying or supply ON APPROVAL.

SHIPPING—Place order number on outside of each package. Payment after delivery of material. Shipment must be insured or sent at agent's risk.

CANCELLATION OUT OF PRINT AND SECOND HAND CATALOG items: Cancel if unavailable and notify us. USE BUFF SLIP.

ALL ORDERS VOID IF NOT FILLED WITHIN 30 DAYS IN U.S. 90 DAYS OUTSIDE U.S.A.

1 OF 2

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSMEAD REPRINTS
BATH, ENGLAND, 1969?

REQUEST BY ABOVE CALL NUMBER AT LOAN DESK

1 GROSS/LOCKHEED FUND

STEVENS & BROWN

UNCATALOGED

ALLOW TIME FOR RUSH CATALOGING

	ARCH.	ART	BUS. AD.	ED.-PSYCH.
	MUSIC	S. S. M. C.		THEATER ARTS

2

FIGURE 4 10-PART PURCHASE ORDER FORM

1 OF 2

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSMEAD REPRINTS
BATH, ENGLAND, 1969?

ORDER NO 274 954

CALL NO

No. of Copies	ACCOUNT	HANDLING
1	GROSS/LOCKHEED FUND	W/O CAT, GROSS COLL.BUS.AD.LIB

DEALER: STEVENS & BROWN

DATE OF ORDER: OCT 28, 1969

PRICE: $5.40

3

1 OF 2

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSMEAD REPRINTS
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ORDER NO 274 954

CALL NO

No. of Copies	ACCOUNT	HANDLING
1	GROSS/LOCKHEED FUND	W/O CAT, GROSS COLL.BUS.AD.LIB

DEALER: STEVENS & BROWN

DATE OF ORDER: OCT 28, 1969

PRICE: $5.40

COST

INVOICE NO	INVOICE DATE	DATE PROCESSED

4

1 OF 2

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSMEAD REPRINTS
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ORDER NO 274 954

CALL NO

No. of Copies	ACCOUNT	HANDLING
1	GROSS/LOCKHEED FUND	W/O CAT, GROSS COLL.BUS.AD.LIB

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DATE OF ORDER: OCT 28, 1969

PRICE: $5.40

5

FIGURE 4 (Continued)

1 OF 2

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSMEAD REPRINTS
BATH, ENGLAND, 1969?

L. C. CARD NUMBER

ACTION
Out
C
R
On
Oe
Ci
Rd
P
Np
NR

1 GROSS/LOCKHEED FUND

STEVENS & BROWN

6

---

1 OF 2

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSMEAD REPRINTS
BATH, ENGLAND, 1969?

ORDER NO. 274 954

CALL NO.

No. of Copies	ACCOUNT	HANDLING
1	GROSS/LOCKHEED FUND	CAT,GROSS COLL.BUS.AD.LIB

DEALER: STEVENS & BROWN

DATE OF ORDER: OCT 28, 1969

PRICE: $5.40

7

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1 OF 2

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSMEAD REPRINTS
BATH, ENGLAND, 1969?

ORDER NO. 274 954

CALL NO.

No. of Copies	ACCOUNT	HANDLING
1	GROSS/LOCKHEED FUND	CAT,GROSS COLL.BUS.AD.LIB

DEALER: STEVENS & BROWN

DATE OF ORDER: OCT 28, 1969

PRICE: $5.40

8

FIGURE 4 (Continued)

THIS BOOK HAS BEEN ORDERED

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND
SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSHEAD REPRINTS
BATH, ENGLAND, 1969?

ORDER NO. 274 554

CALL NO.

No. of Copies	ACCOUNT	HOLDING
1	GROSS/LOCKHEED FUND	CAT,GROSS COLL.BUS.AD.LIB

DEALER: STEVENS & BROWN

DATE OF ORDER: OCT 28, 1969

PRICE: $5.40

9

RETURN WITH BOOK OR USE AS REPORT

ANSTIE, JOHN.
COALFIELDS OF GLOUCESTERSHIRE AND
SOMERSETSHIRE AND THEIR RESOURCES.
112P. KINGSHEAD REPRINTS
BATH, ENGLAND, 1969?

ORDER NO. 274 554

CALL NO.

No. of Copies	ACCOUNT	HOLDING
1	GROSS/LOCKHEED FUND	CAT,GROSS COLL.BUS.AD.LIB

DEALER: STEVENS & BROWN

DATE OF ORDER: OCT 28, 1969

PRICE: $5.40

SHIP TO:

ACQUISITIONS DEPARTMENT
UNIVERSITY RESEARCH LIBRARY
UNIVERSITY OF CALIFORNIA
LOS ANGELES, CALIFORNIA 90024

Order authorized by:
Invoice in Triplicate
PUT ORDER NO. ON EACH PACKAGE

10

PLEASE NOTE CONDITIONS AND SHIPPING DIRECTIONS ON BACK OF THIS ORDER.

See Copy 1

FIGURE 4 (Continued)

In out-of-print ordering, the element of personal acquaintance and goodwill counts for much more; a dealer may have as many as a hundred institutions all promptly anxious to pay his price for an item. This aspect of a transaction can never be fully subject to control and prediction, but to help matters a little, the Research Library uses a rapid-reply form which provides space for a message of about 50 words and a response in kind from the dealer. The next level of communication is, of course, a personal letter--which, incidentally, is the modus vivendi with regard to tape acquisition at the present; it is one of the fundamental postulates of the C.I.S. project that such ad hoc arrangements cannot possibly continue much longer, but must be replaced by a systematic library procedure.

Receiving

Ideally, copy ten of the order form should have been returned with the item, as should the dealer's invoice. Sometimes one or other or both are missing, and so in URL the mail-room staff have adopted the soundly practical technique of tearing the address label off the packaging and inserting it in the book (together with copy 10 and the invoice if present) as it is trucked to the acquisition department.

Upon its arrival there, the first and most important procedure that is carried out is a physical check to ensure that the item to hand is indeed what was ordered. Here is an example of a routine which has a critical place in the acquisition process for which a tape counterpart will be difficult to achieve. Information on magnetic tapes, especially if those tapes are arriving elsewhere than in the computing room, is not amenable to quick, immediate physical checking. A co-ordinated plan

will have to be evolved, probably centering upon the use of the library's small computer to obtain at least a sample dump of the text.

A further stage in the receiving routine is that of stamping the document with the library's ownership stamp: naturally, this must be done as early as is feasible, in order to minimize the risk of theft. (That this is by no means an overly alarmist point of view is confirmed by the disturbing frequency with which blanket-order books--which cannot be stamped until examined by Bibliographers, etc.--are disappearing from their display shelves). Incoming material for Special Collections is placed in wooden boxes with locks.

Following this, the necessary adjustments are made to the files of Funds Liened and Funds Spent, and the copy of the order form which was placed in the In-Process file (#8) is date-stamped "RECEIVED (date)", and left there, not removed, for a period of time--usually until the item is fully absorbed into the collection. There being no cause for special action, the item is then sent to Cataloging.

Blanket Orders

The practice of blanket ordering is comparatively new, and it is still the subject of marked controversy. There are those who have eagerly grasped the opportunity to dispense with a huge amount of decision time and paperwork, and there are those who are finding that time saved in one area is consumed by fresh operations in another. Dr. G. E. Evans of the UCLA School of Library Service has recently embarked on a major study of another crucial question--namely, the enduring relevance of the books so received to the library collection, as revealed by their long-term circulation statistics.

There are two methods of establishing a blanket order. The library may make an agreement with a publisher to receive all the books he issues in a specified field at a given standard or level, or the system of agents may be used, where each might be allocated a geographic area. The first is the original meaning of the expression "blanket order"; it implies that, from past experience, the library knows that it will want, say, all publications in Anthropology emanating from the Oxford University Press. The second mode, which is in general use today, gives the library the prerogative of returning the book and is thus more accurately termed the "approval plan". This is what UCLA has chosen, not only because of the return privileges, but because it accords with the library's guiding philosophy of utilizing bookdealers as a means to greater speed and uniformity; with the enormous world-wide scope of its buying interests, one dealer in a country such as Britain or France, or in an area such as Latin America or Germany/Austria/Switzerland, is manifestly preferable to trying to maintain relations with hundreds of publishing houses, large and small. Currently there are 36 such areas, and the library is committing about $115,000, i.e. almost 10% of its total acquisitions funds, to blanket orders. Amounts liened to individual dealers for any one area range from $150 to $20,000 per year; this financial stipulation is clearly included in the one-year agreements which form the basis of the scheme. These agreements are composed of a set of mimeographed sheets giving itemized instructions (there are those who claim they should be more detailed than they are) on scope and procedures. By their nature, blanket orders are for current material only, and the dealer is asked to mark his choices in a copy

of the major current bibliography of that country (e.g. BNB) and airmail it to the library in advance of the book shipment. It is also his responsibility to create a processing manifold for the library in lieu of the one the Acquisitions Department would have used had the library selected the book, and to airmail this to the library, together with a copy of the invoice, in advance of the shipment. These procedures help in some degree to alleviate one of the main bottlenecks that can occur in blanket ordering, viz. the inhibiting of selection work by the bibliographic staff until they know what a dealer is going to send.

Incoming books are displayed on shelves in the Acquisitions Department of URL for a period of 12 days in order a) to give the Bibliographers opportunity to examine the books for overall relevance and suitability, and b) to further guard against unnecessary duplication of ordering. As mentioned above, this procedure prevents the books from being promptly accession stamped, and is therefore open to criticism.

Serials

The big "advantage" of serials acquisition work is, of course, the ability to place an order once and have a regular flow of documents thereafter without further processing. However, the effort thus saved is then immediately taken up by the increased task of accessioning the hundreds or thousands of individual issues every week. And far from the librarian being able to submit one order and then forget about it, the amount of work involved in claiming issues that fail to appear is invariably large enough to require formal procedures and a permanent allocation of people and funds.

As before, an authority card is created, bibliographically checked, and used to generate the official order form. As the Serials Department maintains the master file of serial holdings (KARDEX type; shallow trays with 4 x 6 inch cards--usually called a "visible file") a provisional entry is at once placed therein, "NEW TITLE TO BE SET UP". This is changed when the publication begins arriving, to one of a choice of forms designed for recording dailies; weeklies-monthlies-quarterlies; annuals; irregulars; monographs*; or serials by volume number. The physical check is again important--standard operating procedure requires that identification of the incoming material must be possible before it can be paid for.

Of special significance in the acquisition of periodicals is a well-developed and sensitive claims procedure. The Serials Department in URL has provided for a sequence of notifications (Figure 5): a pre-paid postcard for domestic claims; a form in English, French or Spanish for overseas material, and a form letter from the Department Head where no issue of a new title has yet arrived. There is a detailed departmental schedule of claiming patterns, varying with frequency of issue, place of publication, the general past reliability of the dealer or publisher, and other extenuating circumstances such as weather, war and strikes. The claiming of gifts or exchanges must obviously be handled with special tact, and is therefore usually a co-operative matter with the Gifts and Exchange staff.

---

* Serial monographs are ordered by Serials but processed by Acquisitions, in view of the need for an author entry in the records.

Return postage guaranteed

Serials Dept.
University Research Library
University of California, Los Angeles
Los Angeles, California 90024

Please check report (if reporting on more than one issue, write number or date beside check or clarify under "Remarks"):

- ☐ Will send immediately
- ☐ Will send when published (about ..... weeks, months)
- ☐ Out of print
- ☐ Temporarily suspended: volume, number, date of last issue .....
  Publication to be resumed on .....
- ☐ Ceased publication: volume, number, date of final issue .....

Remarks:

(Recto)

FIGURE 5a

We note that we have not yet received

We shall greatly appreciate your sending this material in order that we may complete our file. Please notify us what action you are taking by means of the attached postal card. Thank you.

Serials Department
University Research Library
University of California, Los Angeles
Los Angeles, California 90024

5m-7,'68(J1982a)4205—A-33/5

Serials Department
University Research Library
University of California, Los Angeles
Los Angeles, California 90024

FIGURE 5a (Continued) (Verso)

Orig.

UNIVERSITY RESEARCH LIBRARY
UNIVERSITY OF CALIFORNIA, LOS ANGELES
SERIALS DEPARTMENT

To: Date:

Gentlemen:

We note that we have not yet received

We shall greatly appreciate your sending this material in order that we may complete our file. Please notify us what action you are taking by means of the attached form.

Very truly yours,

Serials Department
University Research Library
University of California, Los Angeles
Los Angeles, California, U.S.A. 90024

FIGURE 5b

Dup.

(Please give date of report)

From: Reference:

To:

Serials Department
University Research Library
University of California, Los Angeles
Los Angeles, California, U.S.A. 90024

A report on the following is given below:

(Please check report. If reporting on more than one issue, write number or date beside check or clarify under "Remarks.")

☐ Will send immediately

☐ Will send when published (about _____ weeks)

☐ Out of print (about _____ months)

☐ Never published (_____ indefinite)

☐ Temporarily suspended: volume, number, date of last issue

_____

Publication to be resumed on _____
Ceased publication: volume, number, date of final issue

_____

Remarks:

Detach and Return

7m sets-7/'69(N252s2)8237--A32 11, 12 13, 14

FIGURE 5b
(continued)

UNIVERSITY OF CALIFORNIA, LOS ANGELES

BERKELEY • DAVIS • IRVINE • LOS ANGELES • RIVERSIDE • SAN DIEGO • SAN FRANCISCO SANTA BARBARA • SANTA CRUZ

THE UNIVERSITY LIBRARY
Serials Department

UNIVERSITY RESEARCH LIBRARY
LOS ANGELES, CALIFORNIA 90024

IN REPLY TO:SER:

Gentlemen:

You have our order number dated
for the following:

Up to the present time we have received nothing on this order. Would you be good enough to check on this for us and give us a report on the status of this order.

Very truly yours,

Donald J. Coombs
Head, Serials Department

FIGURE 5c

Gifts and Exchange

The unique contribution which a "G. & E." section can make to a large library is often not sufficiently known or appreciated. In the Introduction we mentioned one especially crucial function it performs, namely the acquisition of material from the Communist bloc, where fiscal and political difficulties make a straightforward purchase impossible. A second type of material frequently acquired by G & E comprises certain scholarly publications, usually serials, issued by Universities, Centers, Schools, Foundations, Institutes, Special Libraries, etc. Because such items are not for sale through the usual channels open to him, a book dealer tends necessarily to concern himself little about them, and a G & E arrangement with another scholarly institution is an appropriate alternative. Such exchange agreements have created personal links with many academic libraries throughout the world, links which have been incalculably beneficial in repeated instances when faculty or research workers ask for hard-to-get material. Because they can instinctively sympathize with another library's problems, exchange partners will in many cases go to great lengths to obtain the material, or at least a reproduction of it, for us.

Gifts. These are usually either personal, single-item donations or large, special gifts (bequests, etc.). In addition, the library has a procedure for writing to solicit the gift of some item. Upon receipt of the material, the donor is thanked by means of a printed card, and a 'gift manifold' is created as the basic record of processing. This is a modified version of the 10-part Purchase Order form, reduced to 7 copies because a) 2 copies to the dealer are unnecessary, the

item having already arrived and b) 1 copy as a report to the requester can be eliminated. The publication is then routinely processed and entered in the public catalog.

Exchanges. The term "exchange" here means an agreement between two institutions reciprocally to subscribe to a periodical; it divides into two kinds: those initiated by "us" and those initiated by "them". Upon receipt of a reasonable request from a Bibliographer, branch librarian, faculty member or even graduate student, to explore the possibility of starting an exchange, the G & E staff check the existing holdings and the In-Process File, and, the order thus cleared, a personal letter is dispatched, enclosing a mimeographed list of the titles which the University can send in exchange. These are mainly University of California publications, which G & E has to buy, and for which it receives funds of $18,000 p.a. Although it tries to stress UC publications, it will if circumstances demand take out a subscription to almost any current U. S. serial. The scope of the operation is approximately 3200 exchanges being made on a continuing basis.

When the transaction is initiated details are entered in files organized by date and by main entry; notification is sent to the requester and to the Serials Department, who enter in their files the new title to be set up. When the publication begins to arrive, the appropriate changes are made by G & E and Serials, and the requester is informed. In the event of non-arrival, the follow-up procedure (form-letters) is used after six months have elapsed from the date of request.

An exchange suggestion by the other party is forwarded to the Bibliographer or branch librarian affected, and if it comes back with instructions to proceed, the cycle is the same as the above.

Microforms

The Microforms Librarian at UCLA has broad responsibility. His is a one-man operation within the Acquisitions Department of URL, covering selection and acquisition of all microforms for the Research Library and its dependent branches, with additional acquisition work on behalf of other campus libraries occurring not infrequently.

The Microforms Librarian receives and screens the range of bibliographic publications relating to microforms, and maintains liaison with Bibliographers, other library departments and faculty. Basing his choice on these sources and his own intimate knowledge of the shape and size of the collection, he makes his selection decisions and orders the material. In the main, he is able to utilize the 10-part Purchase Order form for maximum integration with the library's general records (In-Process file, etc.) but circumstances often demand a personal letter in addition. The prime example is the question of copyright as raised by modern microfilming practices, necessitating correspondence with authors, publishers or lawyers. Funding is basically from two sources:

1. The regular allocations for specific subjects or areas.
2. The Library Microfilm project for microfilming done here.

This latter is also used for the microfilming of UCLA dissertations.

Upon arrival of the microfilm, the librarian carries out a check of the contents and the physical quality. Invoices are merged with

the Acquisitions Department records, and the material is then forwarded to the catalogers. Any subsequent replacement of damaged or missing items is also the responsibility of the Microforms Librarian.

SECTION B

Tapes in Relation to the Above

We began section A of this report by noting that, in broad terms, the library has chosen to organize its acquisition procedures by form of publication--books, serials, microforms. The questions of the financial basis of the transaction (and, where URL acts for the branches, the intended destination of the item) are then resolved within this framework. Historically and bureaucratically, therefore, the answer is already partially determined, to the question "How shall the library acquire mechanized data bases?" It will be done on the basis of form.

With the magnetic tape medium so obviously different in composition from the printed medium, the interface with acquisitions librarians is changed--however much the glossy brochures try to assume otherwise. With the inevitable differences in potential modes of usage, the interface with the reference staff and with the library's clientele is also fundamentally altered. On top of these considerations, and partly as an outgrowth of them, the C.I.S. has consistently been viewed by the library as a new type of activity,* not capable of being financed out of the present library operating budget, which is itself severely strained. Furthermore, the novel features of magnetic tapes which will require fresh criteria for acquisition will also constitute a problem

* A Proposal for the Development of a Center for Information Services, Phase II: Detailed System Design and Programming, letter of Mr. R. Vosper to Professor R. M. Hayes, Supplement, Item 10.

for catalogers--as a previous C.I.S. study has shown*--and no doubt also for reference staff, which aspect of the project has not been fully explored as yet.

There are ample reasons then, for a decision not to try to feed into the present acquisitions system, with its already overworked 10-part order form, size 3 x 5 inches, a mass of requests for the acquisition of vast and costly files of information on tape. C.I.S. acquisitions for the entire campus library system should initially be carried out in separate surroundings, and URL is the obvious location. In this way, a body of people involved in C.I.S. can amass a fund of expertise in the handling of tapes for library use which will be invaluable if and when the operation becomes large enough for us to contemplate decentralization. But I do not believe it would be wise to begin the acquisition and cataloging of mechanized data bases at the branch level: serious problems of tangential development would almost certainly follow, and this would rapidly vitiate the concept of campus standardization and a systematic approach to the immense programming tasks. The case for one central location is further strengthened if we remember that it is not yet by any means clear which groups on the campus will want to make use of which files, and that some files (CENSUS 70 being an obvious example) will have to be available to all departments equally promptly. The facilities in URL should, however, be in reasonable proximity to the Acquisitions Department for purposes of co-ordinating certain bookkeeping procedures: the plans for assigning 3,000 sq. ft.

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* "Standards for Cataloging of Magnetic Tape Material" by Joan C. Troutman. Part 4 of the Final Report on Mechanized Information Services in the University Library, Phase I - Planning.

of floor space in Unit II of the Research Library to C.I.S. have presumably been drawn with this kind of arrangement in mind.

An initial staff of one professional librarian will probably suffice, with one F.T.E. clerical assistant, who might be wholly dedicated to acquisitions, or alternatively could form part of a central pool working in C.I.S. It is imperative that the librarian selected should have a stronger background in data processing and information science than is presently average for librarians; should be firmly committed to the view that the library is indeed the natural and logical agency to provide a service in this new medium, as it has tried to do in every other; and should know enough about the history of the C.I.S. project on this campus to be able to maintain liaison with the various branch libraries and academic departments. In short, we will need a young librarian with the M.L.S. qualification--he or she could perhaps most advantageously be drawn from the UCLA School of Library Service, though obviously this is not essential--and the position would be that of Librarian I-II.

He will presently need relatively little in the way of equipment: a filing cabinet for the high proportion of work in the early days which will involve personal letters, etc.; a bookcase for his bibliographic tools, such as they are for tapes at the moment; a storage cabinet for special offshoots of his work, such as documentation manuals, bulky thesauri, card decks and sample print-outs; and provisions for a series of files belonging to the acquisition process.

The estimated rate of acquisition postulated by Dr. R. M. Hayes (in part 10 of the Phase I report on C.I.S., page 16) is approximately

2,000 tapes in the first five years, average 400 p.a. With the 1970 U. S. Census looming large, itself comprising 1,500--2,000 reels of tape and probably due to be purchased in its entirety by UCLA, it now appears that this figure is on the low side (though not of course by 2,000 reels) especially since the first five-year period will necessarily entail abnormal expenditures on several other major, pre-existent data bases, and since the comparative costs of data bases are probably going to decrease in the long run. The average of 400 reels p.a. may, however, become applicable after a longer period, say 10 years, if we include the 1970 Census in an estimate of 4,000 reels within a decade. By that time, of course, the 1980 Census will be upon us. Rough estimates of the number of actual data bases which constitute these 4000 tapes can be similarly extrapolated. There are presently about 100 organizations in the U. S. having data bases to offer, some of these agencies naturally possessing several files. It seems to me from observation that this number is increasing annually, perhaps by 10, but certainly not as rapidly as the number of data bases being created by them, announcements of which are coming at the rate of about two a month. In the first operational phase of C.I.S., therefore, the librarian should plan to be dealing with up to 120 agencies offering between them about 200 data bases, ranging in size from a single reel to 2,000 reels; intake for the first five years might then average 200 annually, with the additional 2,000 Census reels in the first year for a total of 3,000 reels.

For the process of acquisition then, the following files are suggested:

a data base file consisting of all the publicity and informational literature about all of the data bases that can be traced. Later on a separate file might be established for overseas data bases. Organized by the given name of the data base.

an 'on order' file capable of accommodating about 100 entries; the opening phase will see this fill rapidly, but for some years to come it is doubtful whether more than 100 data bases will be on order at any one time. Organized by the given name of the data base.

an 'item received' file, into which one copy of the order form and invoicing for every completed transaction must be put; initially with space for 500 entries. Organized by the given name of the data base.

a vendor file, also with space for 500 entries; on the growth rates postulated above, this will take longer to fill than an 'item received' file of the same capacity--but there is no logical reason why each data base should not have a different manufacturer. Where the manufacturer is not also the vendor (i.e., where a dealer is involved) the entry should be under the vendor with cross-reference from the manufacturer. It should contain the postal address of the vendor, including the names and addresses of his key personnel associated with sales of data bases (e.g., his West coast representative). Under this, a brief statement of any discount or approval or other service arrangements, followed by a chronological listing of the data bases we have purchased from him, showing cost.

a tape documentation file to contain

(i) a copy of the original documentation accompanying the tape.

(ii) a report by the C.I.S. staff member responsible for initial work such as opening the tape and identifying the elements of its structure.

(iii) any relevant printout associated with (ii), e.g., the dump, the "read" program (plus the card deck) and a specimen of the correctly formatted printout.

(iv) any technical correspondence resulting from (ii), e.g., to the owner or to another UC campus, itemizing gaps in the original documentation, etc.

(v) later work as it occurs, roughly in the same mode, i.e., a report of what was done or attempted plus some sample printout. Any relevant contributions by users should be included, with acknowledgements and references.

In addition to the above, the C.I.S. as a whole will need a publicly available record analogous to the serials list. This file, again with space for about 500 entries initially, would be created after the cataloging is all completed and the data base announced for public use; the aim would be to have an alphabetic list of the data bases in the system that would show all necessary details of both physical and intellectual location. It might be called the C.I.S. holdings file, and it would be the working record which the reference librarian would have immediately available to her to help her meet inquiries. In other words, it would provide a means of avoiding the chore of looking through the whole of a card catalog; the records would obviously be compatible with those placed in the card catalog, indeed derived directly therefrom.

At this point it should be emphasized that if the Center for Information Services in operation is to make historical sense to the user and to the library world at large, it must exist from the very outset on mechanized records. The nature of the information medium with which we are mainly concerned, machine-readable tape capable of bearing colossal stores of variegated information on a single reel, makes it no more than basic economic prudence to insist on the provision of many points of intellectual access; this in turn presupposes at this time in history that the processing power of the computer be utilized to maintain one master file of holdings and to produce specially organized lists thereof upon demand: a vendor list, a list of assigned subject headings, a list of the data bases giving details of their respective thesauri, etc. No other approach should be contemplated,

lest future progress in the automatic recording of traditional library materials force the change at some later date--probably within the decade--and leave the library with a lot of costly retrospective work to do, that could have been so easily avoided. The Library Systems staff should be asked, as early as possible in 1970, actively to co-operate in the creation of such a record, for it must necessarily be compatible with their plans for automating the acquisition records of this campus and the UC system in a rational manner. Otherwise a rare opportunity will be lost to create an automatic record file right from entry number one, and the CIS will tend to look very foolish.

In view of this, I would like to defer any precise description of the composition of the forms for acquisition--their structure will depend upon the specifications established by the Systems staff for the acquisition process as a whole. However, Figure 6 presents a tentative outline of the fields which are going to be needed on one or other of the C.I.S. processing forms, and which therefore will have to appear on the master record. As may be observed, most of these can be fixed fields, but there should also be provision for variable fields, for example at the end of each record, where a section called "Remarks" could accommodate temporary or special information not covered by any of the formal categories. It will be apparent that I differ somewhat from Mrs. Troutman in assessing the amount of information which it will be necessary to display in the public catalog, but this will be discussed at a later stage of C.I.S.

Let us assume then that the C.I.S. acquisitions librarian is alerted by incoming publicity material suitable for the data base file,

of a data base which he thinks the Center should acquire.

i) In view of the complex financial situation which will probably surround the acquisition of data bases, he will almost certainly need to initiate discussions with other parties on the campus. Agreement may have to be reached about leasing, purchasing or subscribing to a print-out service; about the type of service the academic community wants, as against what it might get from any one of the above possibilities; and about the extent of co-operative involvement in funding, if necessary.

ii) The degree to which the Bibliographers will be part of this process has not yet been investigated. They may see selection work for C.I.S. as a reasonable extension of their present responsibilities and thus expect from the outset to participate, or they may not. If they do, it is obvious that their contributions must be valued highly, but a matter for question whether they should be decisive--it will be remembered that 10 of the 11 are there to serve the humanities. If, on the other hand, it seems unlikely that they will immediately interest themselves in C.I.S. activities, then there could profitably be some independent consideration by C.I.S.-related staff of how far their operation would benefit from a working relationship with the Bibliographers, and alternatively of the long-term advisability of instituting a new equivalent position of Bibliographer for Mechanized Services. It therefore seems clear that some committee mechanism should be created at an early date to pursue this question and report to the C.I.S. Principal Investigators.

FIGURE 6

Data Fields	Master File	C.I.S. Holdings File	On Order File	Item Received File	Vendor File	Public Catalog		
Manufacturer	x	x	x	x	x	x		
Address	x	x	x	x	x	x		
Issuing Agency (if different from above)	x	x	x	x	x	x		
Title of data base	x	x	x	x	x	x		
Assigned name of data base	x	x	x	x	x	x		
Year of issue	x	x	x	x	x	x		
Years of coverage (if applicable)	x	x	x	x	x	x		
Number of reels	x	x	x	x	x	x		
Number of logical records	x	x	x	x		x		
Increment in reels/ year	x	x	x	x		x		
Number of logical records	x	x	x	x		x		
File Organization	x	x	x	x		x		
Associated Files	x	x	x	x		x		
Lease or Purchase	x	x	x	x				
Basic price	x	x	x	x				
Other Factors (Discount?)	x	x	x	x				
Fund	x	x	x	x				

FIGURE 6 (Continued)

Data Fields	Master File	C.I.S. Holdings File	On Order File	Item Received File	Vendor File	Public Catalog		
Authorized by	x	x	x	x				
Countersigned by	x	x	x	x				
Order number	x	x	x	x				
Makers documentation	x	x	x	x				
Equipment on which d.b. was created Manufacturer, type or series, model	x							
Density (b.p.i.)	x							
Tracks, parity	x							
Recording mode (BCD, EBCDIC, ASCII, etc.)	x							
Record format	x							
Block length	x							
Tape label(s)	x							
Call number	x	x				x		
Subject headings	x	x				x		
UCLA holdings	x	x				x		
Programs available	x	x				x		
Copying restrictions	x	x				x		
Remarks	x	x	x	x	x	x		

iii) The C.I.S. acquisitions librarian orders the data base, let us suppose for purchase. After a period of time, which appears at the moment to range between two and six months, it arrives. Any printed documentation might precede, accompany or follow it--there are simply no guides to this at present. Concurrently, the acquisitions librarian has established an entry in the on order file, sent a duplicate copy to be used to generate the master record, and notified the Accounting Section of a lien on the funds. Here is another procedure which will require comprehensive discussion: is the accounting for C.I.S. to be wholly integrated with the library's book, serial and microform accounting, or is it to be, in the primary phase at least, a separate system which maintains its own liaison with the other agencies possibly to be involved in funding the acquisitions (e.g. the UC Regents; the National Science Foundation; the ILR--Task Force project; academic departments, etc.)?

iv) If, on the other hand, the tapes are to be leased, there will of course be an agreement to sign. This involves the library Administrative Office, to whom such agreements should be submitted before any firm plans for acquisition are made. A potentially hazardous feature of tape leasing is that ownership and copyright of the information, as well as of the physical reels, remains with the lessor throughout. Thus the following situation is alarmingly possible. The library contracts to lease the tapes at an agreed fee on a year-to-year basis; it builds up a file for, say, five years, which it is putting to ever better use for retrospective searches. Invoking perhaps some index of current usage being made of the file, the manufacturer then

arbitrarily decides to double or triple the annual rental rate. This naturally leaves the library with complete legal freedom not to renew the lease. If it exercises this right, however, it does not merely cease to receive current tapes, it forfeits the entire file, which has been growing steadily more valuable as a data resource. The manufacturer regards the tapes not as a serial publication which, if cancelled, leaves the library with the file it has, but as a piece of hardware or real estate. If one rents a computer and at some point thereafter chooses not to enter into a new agreement which the manufacturer is pushing--or even chooses not to continue the existing agreement--the machine is simply unplugged and taken back to the manufacturer. All that the library then has for its years of rental payments is the use that was made of the computer while it was here. For a university library to rent knowledge in this way would be, as far as I can ascertain, a completely new phenomenon, and moreover a very dangerous one. But faced with the alternative of not supplying the academic community with some undoubtedly important files of information such as the Chemical Abstracts Service tapes, which the library's clientele has discovered <u>are</u> available at some neighboring institution, what choice does it have? It is obvious that a subscription arrangement which gives the library ownership of that portion of the file which it has at any moment paid for will always be far preferable, but failing this, some safeguards against unscrupulous practice will have to be devised, even though they may ultimately have only the power of the consumer to sustain them. A possible instrument for achieving this collectively would be the newly formed Association of Scientific Information Dissemination Centers,

although there is of course no reason at all why the data base at issue should not contain non-scientific information.

v) The data base arrives. The matter of 'checking the goods' has been mentioned in Section A, passim. It would seem desirable to have at least the opening portion of the tape (or selected tapes of a multi-reel file) dumped without delay. The library obviously cannot tolerate the possibility that a vendor's error--let us say, the inadvertent mixing of two reels from two of that organizations products--might go undetected for a period of weeks or even months, to be discovered at random by a dismayed user.

vi) Any printed documentation should be recorded in the appropriate space on the master record, accession stamped, and filed in the tape documentation file. C.I.S. programming staff will need to use it forthwith. After a suitable interval it may be made available to the public on demand, for on-the-spot consultation only. It may be worth considering routinely ordering two copies of all tape documentation, in anticipation of the desirability of having a copy permanently located at CCN. Any C.I.S. documentation which is subsequently generated would be added to this file under the same head, to be accessible to the public on the same basis. I have considered the idea of sending the printed documentation to be fully catalogued at this stage. It is not improbable that a demand for this will arise from within the library, but for reasons to be developed in a future report, it does not appear to be necessary.

vii) If the arriving product is to be not a data base but a periodic print-out from a file not due to be held at UCLA, initial

C.I.S. recording of such material should treat it as a tape. This will ensure that the information (the 'work') is catalogued by the library and available to the public on a reference basis. Bearing in mind their essentially ephemeral nature, both physically and, (in general) intellectually, the best arrangement for these current bibliographies, etc. is to insert them in a binder and leave them either at the C.I.S. office in URL or at the reference desk of the appropriate branch library.

viii) It is not expected that there will be a need for anything comparable to an out-of-print procedure. The copying and updating propensities of information electronically stored are of a totally different order from those of the medium of print. Information on tape is perpetually 'in print'. To build up momentum for a Gift and Exchange operation will certainly take many years, but the logical first step is to compile an inventory of what we have available to offer in exchange for any data bases which might be presented to us in this way. This ties in with one of the Task Force operations, viz. to compile an inventory of data bases and programs possessed by the UC system. I attempted three months ago (September 1969) to start an inventory of data bases here at UCLA, but that proved impossible on a one-man, ad hoc basis. Some type of official written approach is called for, and it seems that the Systems staff of the various campus libraries are the natural collecting point for each campus, perhaps with ILR participation. The proposed general survey of this campus to assess user needs and requirements from an operating Center for Information Services would constitute a means of gathering data on existing holdings of departments, institutes, and other centers at UCLA.

By surveying the situation as it presently exists at UCLA, and identifying some of the likely problem areas, this report has attempted to clear the ground for the detailed work on C.I.S. acquisition procedures which should get underway in the first half of 1970. For this the co-operation of working librarians is envisaged. In addition, the Systems staff should now be approached with a view to designing a machine readable record for the complete bibliographic and processing details of data bases.